

U.S. NATIONAL STAGE WORKSHEET (DO/EO)
09/857636

U.S. APPL. NO. _____

INTERNATIONAL APPL. EP99/09660

APPLICATION FILED BY: 20 MOS., _____ OR 30 MOS., _____ SCREENED BY C. BURT

INTERNATIONAL APPLICATION PAPERS IN THE APPLICATION FILE:

☒ International application
☒ Article 19 amendments
☒ Priority Document(s) No. 2
☒ Request Form PCT/RO/101
☐ PCT/IB/302
☐ PCT/IB/304
☐ PCT/IB/306
☐ PCT/IB/308
☐ PCT/IB/331
☐ OTHER PCT/IB/
☐ PCT/IPEA/409 also 416

☐ 409 annexes to IPER
☒ PCT/ISA/210 (Search report)
☒ Search report References
☐ Other Papers filed

WIPO PUBLICATION
PUBLICATION NO. WO 00/34331
PUBLICATION DATE 13 June 00
PUBLICATION LANG., English
NOT PUBLISHED
_____ U.S. only _____ Requested

RECEIVED FROM THE APPLICANT: (other than checked above)

☒ National application basic fee paid
☐ Express Processing Requested
☐ Translation of the International Application
☐ Used the IB copy of the IA
☐ Description
☐ Claims
☐ Drawings
☐ Foreign Language in drawing
☐ Article 19 Amendments
☐ Amendment used in application
☐ Article 34 Amendment
☐ Amendment used in application
☒ DNA w/o
☐ 1194 transaction done
☒ Sequence listing

☐ Preliminary Amendment(s) filed 07 June 01
_____ second submission
☐ Information Disclosure Statement
_____ second submission
☐ Assignment
_____ Forward to Assignment Branch
☐ Substitute Specification
☐ Small Entity Statement
_____ type
☒ Oath/Declaration (date submitted 02 Nov 01)
_____ Not executed
_____ Executed
☐ Power of Attorney
☐ Change of Address
☒ Sequence letter w/o

35 USC Receipt of Request (PTO - 1399 Transmittal Letter) 07 June 01

Date Acceptable oath/declaration received 02 Nov 01

102(e) Date 02 Nov 01

Date complete 35 USC 371 requirements met 01 Apr 02

DATE NOTICE COMPLETED

DO/EO 903 Notice of Acceptance 16 July 01

DO/EO 905 Notice of Missing Requirements

DO/EO 917 Notice of A defective oath or declaration

DO/EO 916 Notice of defective response

DO/EO 913 Notice of defective translation

DO/EO 909 Notification of Abandonment

DO/EO 920 Notification Nucleotide Sequence



UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT
United States Patent and Trademark Office
Washington, D.C. 20231
www.uspto.gov

U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/857636	DONG Z	00537-186002
INTERNATIONAL APPLICATION NO.		
PCT/EP99/09660		

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I.A. FILING DATE	PRIORITY DATE
07 DEC 99	07 DEC 98

DATE MAILED: 19 JUL 2001

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as ☐ a Designated Office (37 CFR 1.494) ☒ an Elected Office (37 CFR 1.495):

- ☒ U.S. Basic National Fee. ☐ Indication of Small Entity Status.
☒ Copy of the international application. ☐ Translation of the international application into English.
☐ Oath or Declaration of inventors(s). ☐ Translation of Article 19 amendments into English.
☐ Copy of Article 19 amendments. ☐ Other:
☒ Priority Document.
☒ The International Preliminary Examination Report in English and its Annexes, if any.
☒ The International Preliminary Examination Report into English.
☐ Translation of Annexes to the International Preliminary Examination Report into English.

2. ☐ Applicant has requested early processing under 35 U.S.C. 371(f) but has not filed the following indicated items and/or the indicated items in paragraph 3 below. The Basic National Fee and the copy of the international application must be filed prior to 20 or 30 months from the priority date to avoid abandonment.

- ☐ U.S. Basic National Fee. ☐ Copy of the international application.

3. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- ☐ a. Translation of the application into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.
☐ The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.
☐ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).
☒ c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), properly identifying the application (preferably by the International application number and international filing date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date.
☐ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
☒ d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).

4. Additional claim fees of \$ _____ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.

5. ☒ Applicant has not submitted the required sequence listing pursuant to 37 CFR 1.821-1.825. See attached PCT/DO/EO/920.

ALL OF THE ITEMS SET FORTH IN 3(a)-3(d), 4 AND 5 ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 22 OR 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

6. If box 3a or 3c is checked, a translation of the Annexes **MUST** be submitted no later than the time period set above or the Annexes will be cancelled. A processing fee will be required if submitted later than 20 or 30 months from the priority date.
7. ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

A copy of this notice MUST be returned with this response.

Enclosed: ☐ PCT/DO/EO/917
☐ PTO-875

☐ Notice of Defective Translation
☒ PCT/DO/EO/920

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FORM PCT/DO/EO/905 (March 2001)